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The planning phase includes all the activities necessary for the project office to establish the project infrastructure and stakeholder accountability, along with all the project plans, including the appropriate levels of pre-planning documentation for the follow-on phases (e.g. procurement, system development, system implementation, M&O, and closeout).

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M3 - Plans Approved

[Main](#)
[M1](#)
[M2](#)

The purpose of this milestone is to ensure the Project Office has established the necessary plans, processes and tracking tools for managing the project.

1. Develop additional key strategies for the project. These strategies along with the Project Charter are intended to guide the development of the Project Master Plan, Request for Proposal, and Contract.
 - Develop [Implementation Strategy](#).
 - Develop [Business Process Re-engineering Strategy](#) (if applicable).
 - Develop [Travel Plans and Budget](#) (MS Word) for user site visits.
 - Develop [Quality Assurance and IV&V Strategy](#).
 - Develop [Test Standards and Testing Strategy](#).
 - Develop [Maintenance and Operations Strategy](#).
2. Prepare and document the initial [Master Project Plan](#) to include top-level schedule, resources, acquisition processes, and supporting processes. The Master Project Plan can be supplemented by detailed plans to include:
 - [Communications Plan](#)
 - [Contract Management Plan](#)
 - [Consultant Management Plan](#)
 - [Metrics Plan](#)
 - [Configuration Management Plan](#) (including management of requirements)
 - [Risk Management Plan](#)
 - [Interface Management Plan](#)
 - [Implementation Plan](#)
 - [Business Process Re-engineering \(BPR\) Approach Plan/Charter](#)
 - [Quality Assurance Plan](#)
 - [Test and Evaluation Plan](#)
3. Develop a [Governance Plan](#). Determine if an Interagency Agreement (IAA) is needed with the Sponsor or a Stakeholder organization. Determine if [Memoranda of Understanding](#) need to be established with counties.
4. Develop [Implementation Advance Planning Document \(IAPD\)](#) for the funding approval. The IAPD covers the System Implementation Phase of the project. Note that that DOF and DGS require a [Feasibility Study Report \(FSR\)](#) and [IT Procurement Plan \(ITPP\)](#) for project/funding approval prior to contract award. However, the APD has mostly the same information so the APD can usually be adapted and submitted to DOF DGS for approval in place of the FSR.
5. In accordance with the budget cycle, develop [Budget Change Proposal\(s\)](#) for State funding approval. Be sure to start planning for subsequent years resources as well.
6. If there is an [Independent Verification and Validation](#) (IV&V) team, have them develop an [IV&V plan](#).
7. Implement a [Document Management](#) system and process to control plans and subsequent work products.
8. Implement a [Risk Management](#) system and process.
9. Implement a [Configuration Management](#) system and process to control network configuration, tools and software for the project.
10. Implement a [Requirements Management](#) system to control the system requirements.

11. Implement any other necessary tools, processes and tracking systems needed to support the project. Refer to the [Project Infrastructure](#) list for typical types of items.

Milestone 3 is complete when the project has approved plans and processes, and is ready to start the Procurement Phase.

*Note that the Federal definition of "planning" is from project startup through procurement to the point where a contract is awarded to the prime vendor. For the purposes of this site, we have divided the planning and procurement activities into two phases.

Expected Deliverables

The following deliverables are the responsibility of the Project Office for this milestone. Deliverables (as listed below) are intended to be final versions which are required to exit the phase.

- Quality Assurance and IV&V Strategy
- Master Project Plan (MPP)
 - Communications Plan
 - Contract Management Plan and/or Consultant Management Plan, Processes and Tools
 - Metrics Plan, Process and Tools
 - Configuration Management Plan, Process and Tool
 - Risk Management Plan, Process and Tool
 - Interface Management Plan
 - Implementation Strategy/Preliminary Plan
 - Business Process Re-engineering Strategy/Preliminary Approach Plan
 - Quality Assurance Plan
 - Test and Evaluation Strategy/Preliminary Plan
 - Governance Plan and/or Interagency Agreement
- Implementation Advance Planning Document (IAPD) and/or Feasibility Study Report
- Budget Change Proposal (BCP)
- Issue/Action Tracking Process and Tool
- Document Management Process and Tool
- Requirements Management Process and Tool
- Other processes and tools, as needed

Interim Work Products

Interim Work Products are preliminary versions of deliverables for a future phase. For example, in this phase preliminary Implementation and M&O Strategy should be developed and presented for discussion. However the final Implementation and M&O Strategy not required until the following phase (during Procurement).

- Preliminary Implementation Plan
- Preliminary Business Process Re-engineering Approach Plan/Charter
- Preliminary Travel Plans and Budget (for user site visits)
- Preliminary Maintenance and Operations Strategy
- Preliminary System Test and Acceptance Strategy

Activities and Key Decisions

- Determine if InterAgency Agreements (IAA or IA) need to be established with other state departments or agencies. Also determine if Memoranda of Understanding (MOUs) need to be established with counties. These documents should include roles and responsibilities, funding expectations and commitments (if applicable), and an [escalation process](#) for resolution of one party does not meet their responsibilities..
- Perform a [lessons learned](#) session to capture good ideas and strategize about activities that did not go as planned. Document the results and submit them to the organizational repository. Incorporate appropriate suggestions in the plans and processes for the next phase.

Samples, Supporting Materials and References

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The Implementation phase includes all the activities necessary for the project office to transition from a development/testing environment to a production environment using the new system.

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Implementation Strategy

[Impl Main](#)

The implementation strategy defines the general approach for the system implementation. The intent of the implementation strategy is to identify the assumptions and establish the framework for the implementation section of the Request for Proposal (RFP). The strategy should identify the activities that you expect the Contractors to address in their proposals. The strategy should also define how the project office expects to divide implementation responsibilities between the State and Contractor.

Once the Contract is awarded, the Contractor and/or State will develop a detailed [Implementation Plan](#) that must be consistent with this strategy. Typical implementation issues include:

Stakeholder and customer communications. What are the State and Contractor roles for communicating with the customers and stakeholders? What methods of communication will be used?

Infrastructure preparation. What are the State and Contractor roles for infrastructure preparation? How many offices will receive the system? How many users need equipment at each office? Will the system use any existing state infrastructure?

Data conversion. If there is an existing database, who (State, Contractor, third party vendor) will do the data conversion to the new database? Will there be data validation and cleansing? How much conversion can be automated? What tools will be needed?

System rollout. If the system is implemented across the state, how will it be rolled out? Will there be "big bang" or incremental implementation? If incremental, what is the criteria for deciding the order in which offices receive the system?

Will the system software be developed incrementally? If so, what are the criteria for deciding what goes in each release? How will the new releases be rolled out?

If a system is being replaced, how will the operations be switched over? Will there be a pilot operation? Will there be a time of parallel operation? If so, how long?

Training. What are the State and Contractor's roles for training? What are the user classes? How many people will need training in each class? What type of training will they need?

Change management. What are the State and Contractor authorities in implementation?

Business Process Reengineering. Will business process re-engineering be required? Will new policies be required? If the system required staff reorganization, how will staff positions be converted and/or established?

Help Desk procedures. When must help desk services be available? What is the expected response time? Will Contractor and/or State staff maintain the help desk?

Change Request. How will changes to the implementation plan be submitted and approved? How will changes to the system be submitted and approved?

Problem Resolution. What are the State and Contractor roles in implementation problem resolution?

Sample:

- [WDTIP Implementation Strategy](#) (pdf)


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BPR Goals and Approach

[BPR Main](#)

The purpose of this step is to allow the project, Sponsor and stakeholders to agree on the scope and approach to the BPR effort. Depending on the [approach](#), this step is performed either during the Initiation/Planning phase, or as one of the first steps in the Systems Development phase.

1. Determine the goals and objectives for the BPR/BPI effort. The objectives should be measurable or verifiable.
2. Determine the scope of the effort.
 - What organizational units are considered in/out of scope?
 - What process areas or systems are considered in/out of scope?
 - Can automation elements be added to the scope?
 - Can current automation/hardware/software be replaced or upgraded, if appropriate?
3. Determine the organizational boundaries.
 - Is an organizational re-design or adjustment allowed?
 - Can staff be re-assigned to new areas?
4. Establish the BPR team and participants.
 - Determine the stakeholders, Sponsor and approval authority, if it is different from the overall project
 - Provide roles and responsibilities, skills needed, authorities (such as for decision making) and time expectations to the stakeholders
5. Develop the [BPR Approach Plan/Charter/Project Plan](#).
 - Describe how the current and future analyses will be conducted
 - Who will participate in the BPR effort?
 - What is the methodology for each BPR activity?
 - How much time and what level of participation will each activity require?
 - What are the types of anticipated results; how will the results be presented; and at what level of detail will they be presented?
 - Obtain agreement and signoff on the plan/charter from the Sponsor and stakeholders
6. Document the [Communications Strategy/Plan](#).
 - This should be an expansion of the [project Communications Plan](#) and should be referenced by that plan
 - Describe the types of communications, methods, frequency, content and level of detail, and who is responsible for the communications
7. Document or confirm the [Issue Resolution Process](#).
 - This may be part of the Communications Strategy/Plan or a stand-alone document.

The process may be part of the regular project issue process, or may be considered a separate process though similar steps should be followed. All issues and their resolution should be documented

- Ensure there are policy and legal representatives available to discuss and resolve issues
- Ensure that an escalation process is documented, including timeframes which require escalation
- All participating stakeholders should agree to use this process and agree to participate in the resolution of issues, as needed
- This process should be implemented as soon as the Approach Plan/Charter is approved, and should continue until the system is retired.

8. Document or confirm the [Travel Plans and Budget](#) for the BPR effort.

- Determine who is paying for the travel to county/user locations, or if the costs will be shared
 - For example, what if county staff are in town for a CWDA meeting and a BPR workgroup? Who pays for what?
- Document the specific procedures and agreements, including travel claims, scheduling and approvals required

Timelines:

- This set of steps should not take more than a few months; 3-5 months is average and more than 9 months is approaching excessive.


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Quality Assurance Strategies

[QA Main](#)

The Quality Assurance strategy defines the project's approach to assuring its products and processes meet specified requirements and adhere to their established plans. Quality assurance may be internal or external depending on the degree of organizational freedom and authority required. SID projects typically have three levels of quality assurance:

- Contractor Quality Assurance
- Project Office Quality Assurance
- Independent Validation and Verification

The **Contractor QA** is internal to the Contractor's development effort and reports to the Contractor's management. The **Project Office QA** externally monitors the Contractor's development effort and internally monitors the Project Office processes and efforts, and reports to the Project Manager. The **IV&V** contractor externally monitors both the Contractor and Project Office efforts and reports to the Project Manager or Sponsor and external agencies like DOF. In the Planning Phase, the Project Office identifies a QA strategy to ensure that these levels of QA are complementary. The objective is to balance the responsibilities between the three QA levels to ensure that quality is adequately evaluated and there is no unnecessary overlap.

TIP

The bottom line is that the Project Office is ultimately responsible for Quality Assurance. The Project Office should have a Quality Assurance program that thoroughly evaluates the Contractor's and Project Office work products and processes. The IV&V plan should be structured to oversee the Project Office effort and complement the Project Office oversight of the Contractor in areas of critical need and high risk.

In developing the QA strategy the Project Office must consider:

1. What are the **critical business needs**, high risk areas, and areas of technical difficulty? The Project Manager may want to have all three levels of QA examine these areas. If necessary, the Project Manager may also supplement the QA staff with a subject matter expert to conduct additional studies or analysis. In areas of low risk, the Project Office may leverage the work of the Contractor QA by letting the Contractor QA perform evaluations with the Project Office QA reviewing the Contractor's QA effort.
2. What is the **degree of independence** required? State or federal guidelines may call for a high degree of independence for the verification and validation activities, calling for an emphasis on IV&V. Alternatively, if independence is not essential, a project QA team could perform essentially all of the product evaluations, with a minimal IV&V effort focused on processes.
3. What are the **available skills and domain knowledge** of available QA and IV&V staff? Responsibilities should be assigned to the most qualified group. For instance, a project's staff may have strong business domain knowledge, but limited software development experience. This would call for a Product QA plan focused on business requirements and functional testing, with IV&V concentrating on technical requirements, code reviews, and system performance testing.
4. Consider the **contract flexibility** of Project Office QA versus IV&V. Because of the 'Independence' factor, redirecting the IV&V effort as the project evolves may be difficult. For complex projects, anticipating the problem areas will be difficult, so the project manager may want to rely more heavily on QA resources that can be redeployed more easily. Also, the Project Manager may want to keep greater control/insight of vendor oversight activities by having QA perform most tasks and supplementing with IV&V only for critical areas.
5. What is the **funding available** for QA and IV&V services? Depending on the circumstances, funding may be more readily available for either QA or IV&V, which may influence a project manager's approach.

The Project Office may summarize the QA responsibilities in a [Matrix](#) (MS Word).

Project Office Work Products

Phase	Work Product	Evaluation Method	Contract or QA	Project QA	IV&V
Planning	Master Project Plan	Document Review			X
Procurement	System Requirements Document	Document Review			X
	Concept of Operation	Document Review			X
	Request for Proposal	Document Review			X
	Proposal Evaluation Plan	Document Review			X
	Proposal Evaluation Report	Document Review			X
	Contract	Document Review			
Project Monitoring	IV&V Plan	Document Review		X	
System Acceptance Test	System Acceptance Test Deficiency Reports	Document Review			X
System Acceptance Test	Acceptance Test Report	Document Review			X
Initial Operation	Initial Operation Assessment Report	Document Review			X

DRAFT SAMPLE ** Actual Deliverables depend on Contract **** DRAFT SAMPLE**

Contractor Work Products/Milestones

Phase	Contractor Deliverable	Oversight Mechanism	Contract or QA	Project Office QA	IV&V
Project Initiation	Project Management Plan	Document Review			
	Statewide Transition Plan	Document Review			
Project Management	Monthly Project Mgt and Risk Status Report	Joint Review (Monthly)			
	CM Status Report	Process Audit (after each milestone)			
	QA Documentation	Process Audit (quarterly)			
	Get Well Plan (as required)	Joint Review (Monthly)			
System Requirements Analysis	Capacity and Performance Plan(s)	Product Review			
	Functional Architecture and Interfaces	Joint Requirements Review			
	Requirements Risk Assessment	Joint Requirements Review			
Implementation and Delivery Requirements Analysis	Implementation Plan	Product Review			
	Delivery Coordination, Site Preparation, Delivery and Installation Plan	Product Review			
	Support Services Plan (Training, Operations Support, Maintenance, Help Desk, etc.)				
System Design	System Architectural Design Description (SADD)	Joint Document Review			
	System Interface Design Description (SIDD)	Joint Document Review			
	Preliminary System Integration	Joint Document			

DRAFT *** Example of Quality Responsibility Matrix *** DRAFT

Phase	Contractor Deliverable	Oversight Mechanism	Contract or QA	Project Office QA	IV&V
	Plan	Review			
	Preliminary System Test Plan	Document Review			
	Capacity and Performance Study				
	Design Risk Assessment	Joint System Design Review			
		Joint System Design Review			
		Process Audit: Compare to PMP			
Requirements Analysis	Software Requirement Specification (SRS)	Joint Document Review			
	Interface Requirement Specification (IRS)	Joint Document Review			
	System Architecture Requirement Specification (SARS)	Joint Document Review			
	System Architecture Interface Requirement Specification (SAIRS)	Joint Document Review			
	Requirements Risk Assessment	Document Review			
		Joint Requirements Review			
		Process Audit: Compare to PMP			
Preliminary Design	Preliminary Software Design Description (SDD)	Document Review			
	Preliminary Interface Design Description (IDD)	Document Review			
	Preliminary System Architecture Design Description (SADD)	Document Review			
	Preliminary System Architecture Interface Design Description (SAIDD)	Document Review			
	Preliminary Software Test Plan	Document Review			
	Design Risk Assessment	Joint Preliminary Design Review			
		Joint Preliminary Design Review			
		Process Audit: Compare to PMP			
Detailed Design	Software Design Description (SDD)	Document Peer Review			
	Interface Design Description (IDD)	Document Peer Review			
	System Architecture Design Description (SADD)	Document Peer Review			
	System Architecture Interface Design Description (SAIDD)	Document Peer Review			
	SA Acquisition Plan	Document Peer Review			
	System Test Plan (STP)	Document Peer Review			
	Design Risk Assessment				
	Preliminary User's Manual	Document Review			
	Preliminary System Administrator's Manual	Document Review			

DRAFT *** Example of Quality Responsibility Matrix *** DRAFT

Phase	Contractor Deliverable	Oversight Mechanism	Contract or QA	Project Office QA	IV&V
		Joint Detailed Design Review			
		Process Audit: Compare to PMP			
Design Implementation	Source Code Listings and Software Development Files	Joint Review: Code walk through			
Integrated Software Test (in test environment)	Software Test Descriptions (test procedures)	Document Review			
	Software Integration Plan	Document Review			
	Prototype System Architecture Test Report				
	System Risk Assessment				
	Integrated Software Test Reports				
		Process Audit: Compare to PMP and STP			
		Joint System Test Readiness Review			
System Integration	System Integration Test Report	Document Review			
	Deficiency Reports from System Integration Test	Joint Configuration Control Board (CCB) for changes to system			
	Software Version Description	Functional and Configuration Audit			
	Hardware Bill of Materials	Functional and Configuration Audit			
	System User's Manual	Document Peer Review			
	System Operator's Manual	Document Peer Review			
	Updated System Architectural design (SADD) and Software design Descriptions (SDD)	Document Peer Review			
	System Integration Test Plan	Document Review			
	System Qualification Test Plan	Document Review			
		Process Audit: Compare to PMP and STP			
System Integration		Joint Qualification Test Readiness Review			
Qualification Test with Pilot	Deficiency Reports	Joint Configuration Control Board (CCB) for changes to pilot			
	Capacity and Performance Report for Qualification Testing				
	Qualification Test Report	Document Review			
System Installation and Acceptance Test	System Acceptance Test Deficiency Reports	Joint Configuration Control Board			
	Support preparation of Acceptance Test Report (prepared with acquirer)				
System Initial Operation	Initial Operation Assessment Report (prepared with acquirer)	Document Review			

DRAFT *** Example of Quality Responsibility Matrix *** DRAFT

Phase	Contractor Deliverable	Oversight Mechanism	Contract or QA	Project Office QA	IV&V
	Initial Operation Deficiency Reports	Joint Configuration Control Board (CCB)			
	Software Version Description Document	Document Review			
	Hardware Bill of Materials	Document Review			
	Capacity and Performance Report for Initial Operation				
	System User's Manual	Document Review			
	System Operator's Manual	Document Review			
	System/Subsystem Design Description and Software design Description	Document Review			
		Process Audit: Compare to PMP and STP			

DRAFT SAMPLE *** Actual Deliverables depend on Contract ***** DRAFT SAMPLE**


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Test Strategy

Test Main

When planning the project, it is important to consider the project's approach to testing and acceptance. The intent of the Test Strategy is to establish the framework for testing the system and work products delivered by the Contractor. The Strategy should identify the types of testing that you expect the Contractor to address in their proposals. The Strategy should also define the level of participation for the project office, users and Sponsor, and the responsibilities for all participants. (See also [Testing Description](#).)

The Test Strategy is used during the Planning and Procurement phases of a New Systems Acquisition to help the Project Office clarify expectations with the user, Sponsor and bidders. Prior to Contract Award, the State should prepare a [Test and Evaluation Plan](#) that describes the details of how the Project Office will evaluate the Contractor's work products, system, and testing activities and results. The Contractor may also prepare a [Master Test Plan](#) that describes their approach to all testing phases and the activities for which they are responsible. At a minimum, they should submit test plans for each phase with their high-level test approach documented in their Project Management or Software Development Plans.

The Test Strategy for M&O is similar to that for new systems, but includes a greater focus on regression testing and keeping the users informed of specific fixes or changes that were requested. The test process should be described in terms of the periodic release cycles that are part of the change control process. It should also describe a set of minimum tests to be performed when emergency fixes are needed (for instance, due to failed hardware or recovering from a database crash).

Typical test issues include:

Test Participation - Project Office Staff. The project office should participate in testing as soon as possible. This may not be possible if the contractor performs some or all of the development at a remote location. At a minimum, the project office should participate in System Testing and all subsequent test phases. Where possible, the project office should participate in Functional and Integration testing. If the State will be maintaining the system, then the M&O staff should participate in unit testing, if possible. In some cases, the project office staff may request the IV&V vendor to participate in or execute some of the test phases to ensure an un-biased third-party opinion on the status of the system.

Test Participation - User and Sponsor. Often the sponsor and user elect to not participate until Acceptance Testing. However, SID recommends that the User participate or at least observe System Testing, and that the User and Sponsor participate as testers during Acceptance Testing. The User and Sponsor should participate in any test that formally verifies a business requirement to ensure their needs have been addressed.

Test Environments. The Contractor usually provides the development and test environments, in addition to the production environment. How many environments, and which [test environments](#) can be co-located on the same hardware must be decided. If some of the development is being performed off-site, the RFP/ITP/contract should indicated which types of testing may be performed remotely and which must be performed on-site. Another consideration is whether the test environments are considered deliverables which will be retained by the State, or if the test environments remain the property of the Contractor.

Approach to Testing External Interfaces. Testing external interfaces is critical to ensuring a working system, and may help to identify performance issues before beginning production. Some external organizations have dedicated test environments, but most do not. Thus the Project Office must determine how to approach and coordinate testing of these interfaces. A tradeoff must be made about a reasonable level of confidence in the system/testing and the amount of risk the project is willing to accept, vs. the amount of work, coordination and ability of the external organization to participate in testing. The best approach is to include the external organization in the planning process early to determine what is and is not possible.

Approach to Testing COTS products. Although most COTS products are assumed to perform

correctly, there is some testing required to ensure that the COTS product correctly interfaces and supports the rest of the system. For any COTS other than the Operating System and DBMS, the outputs should be verified for typical and error cases. If data is being interchanged, then input and output formats should be verified for correctness. COTS testing should begin in parallel with Integration testing.

Scope of Acceptance Testing. The scope of acceptance testing may depend on what the Contractor is responsible for. Often testing needs to include the business processes, help desk functions (including knowledge base and procedures), backup and recovery, disaster recovery features, system administration tools, specialized hardware, M&O procedures, year-end and quarterly reports, and other user documentation.

Verification of Un-testable Requirements. In some cases, it may be difficult or impractical to test a given requirement. A method of verifying such requirements should be established. These un-testable requirements should be included in a test procedure/script(s) and verified during or just prior to Acceptance Test. The method of verification and appropriate witnesses and supporting documentation should be documented. Typical verification methods include code inspection, simulation using test tools, or, as a last resort, a certification letter from the contractor indicating they will be responsible for any damages resulting from failure of the requirement.

Criteria for Acceptance of the System. The criteria for acceptance is a critical decision that must be documented. Although not all criteria may be identified during the Planning phase, the majority should be documented as part of the RFP/ITP and/or contract. Acceptance criteria typically include (but are not limited to) satisfaction of all requirements (as stated in the RFP/ITP/contract and any associated change orders), approval of all deliverables, and satisfaction of all performance requirements. Some projects have required the system to be in production for a set period of time (to test system stability and its ability to satisfy the user's business needs) prior to conferring acceptance.

Pilot or Field Testing. The Project Office must decide if a pilot or field test (or several pilot/field tests) are warranted based on the type and complexity of the system being developed. The project should have an explicit, stated reason for conducting a pilot and a specific goal (e.g., verifying interfaces with other co-resident applications on the user's desktop). The type of user environment, volume of workload, types of work processed, location, and impact to day-to-day operations should be considered when choosing a pilot location. The outcomes of testing should also be considered: what happens if the pilot fails? what happens if it is successful? what constitutes "success" for the pilot?

Performance and Capacity Requirements/Testing. Performance and capacity testing is critical for any system. The Project Office must work with the User and Sponsor to identify the performance and capacity requirements and then to determine how to verify the requirements have been satisfied. Large amounts of data will be required, and responsibility for gathering or generating this data must be determined. Specific methods/formulas for measuring performance and capacity must be derived and reviewed to ensure that they are fair (often the Contractor does not have control over all of the network or the transmission lines; these should be factored out of the equation). Consideration should be given to when calculations and extrapolation of test results can be used in lieu of running a test, and when a test must be executed. Is the contractor allowed to use their own (company-owned) testing tools and environments, or must a third-party tool or testing service be used?


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The purpose of M&O is to continue operational support of the system in production, including periodic maintenance, fixes and changes, until the system is replaced or retired.

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Maintenance and Operations (M&O) Strategy

[M&O Main](#)

The M&O strategy defines the general approach for maintenance and operations activities. The intent of the M&O Strategy is to identify the assumptions and establish the framework for the M&O section of the Request for Proposal. The Strategy should identify the activities that you expect the Contractors to address in their proposals and to re-affirm within the organization the strategy to be used for M&O activities once the project is completed.

The strategy should define how the project office expects to divide M&O responsibilities between the State and Contractor(s). Once the Contract is awarded, the Contractor and/or State will develop a detailed [M&O Plan](#) that must be consistent with this strategy. Typical M&O issues include:

M&O Responsibilities. Who is responsible for performing what activities? Consider the following organizations: project staff, HHSDC operations staff, prime contractor, subcontractor, county staff, sponsor staff, outsourced consultants.

Transition Activities. Once the system is put into production, who has the primary responsibility for the system? Is the prime contractor initially responsible as part of the acquisition contract? If not, how will the transition of responsibilities be performed?

Training. If the prime contractor is not responsible for the M&O activities, has sufficient time and training been provided for each of the staff and staffing levels? What are the State and Contractor's roles for training on the new system? What are the user classes? How many people will need training in each class? What type of training will they need? Is on-the-job training and mentoring included to allow hands-on learning?

Knowledge Transfer. If the prime contractor is not responsible for the M&O activities, have sufficient time and opportunities been provided for each of the staff and staffing levels to learn from the contractor? A period of 6-12 months is generally recommended so that staff may experience a complete year's processing including peaks/valleys and end of the year processing activities.

Change Control. How will changes to the system be handled? What is the process and how are each of the participants involved? Who is responsible for analysis and approvals?

Day-to-Day Operations. How will day-to-day operations be handled and by whom? What is the process and who is responsible for resolution of any problems?

Maintenance. How will maintenance activities be handled and by whom? What is the process and who is responsible for scheduling and notifications of the work?

Help Desk Procedures. Will Contractor and/or State staff maintain the help desk? Are third-party vendors also involved? When must help desk services be available? What is the expected response time? If there are multiple help desks (for instance, county and state help desks), what is the escalation process and problem closure process?

Sample:

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